

Appendix 2

Authorized Economic Operators (AEO)

Self-assessment questionnaire

Instructions for the authorized economic subjects

It is recommended to read the instructions from the European Commission for the authorized economic subjects TAXUD/B2/047/2011, Rev.5., before applying for the status

AEO GUIDELINES

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| 0.1. | The authorized economic subject (instructions are available in the Republic of Kosovo Customs web page). |
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| 0.2. | Which department, including the administration you have included in the procedure of your company's preparation for application, for the status of the authorized economic operator? |
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Answer:

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|-------------|---|
| 1. | Records for the company |
| 1.1. | The general data for the company |

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| 1.1.1. | Write down the name, address, date of creating the legal form of the company's organization applying for the status. Please write the web page link in your company's page, if there is any. If your company is part of group, please indicate the other subject in the group: a) Already possesses the AEO certificate; or b) has applied for the AEO status and currently is in the process of an ulterior control for AEO, which is performed by the Customs authority. |
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Answer:

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| 1.1.2. | Please provide the following details (if applicable in a legal form of your company): |
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| | <p>a) Details of main stakeholders, including the percentage of their shares; b) Details of members of the management and/or directors; c) Details of the advisory board, if there is also the Director's board. The details should include the full name and address, date of birth and identification number (e.g. the identity card number or social security number).</p> |
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Answer:

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| 1.1.3. | <p>Please, write the name of the person in administration who submitted the request, and who is competent for customs matters. The details should include the full name and address, date of birth and identification number (e.g. the identity card number or social security number).</p> |
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Answer:

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| 1.1.4. | <p>Please, write briefly the trade activity/your business and mention your post in the international supply chain (manufacturer, exporter, goods transporter, customs warehouse keeper, customs agent, transporter, importer, consolidation warehouse operator, terminal operator, etc.).</p> |
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Answer:

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|---------------|--|
| 1.1.5. | <p>Please specify the locations, addresses, telephone numbers and email addresses of the contact points and give a description of the business conducted in the following locations (including other countries as well): a) individual locations of your company as legal entity (please indicate the approximate number of employees in each department); and b) the sites where a third party executes outsourced activities for your company.</p> |
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Answer:

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| 1.1.6. | <p>Do you buy from/sell to businesses with which you are associated? Yes/No</p> |
|---------------|---|

Answer:

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|---------------|--|
| 1.1.7. | <p>Describe the internal organizational structure of your company and the tasks/responsibilities of each department.</p> |
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Answer:

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| 1.1.8. | <p>Please give the names of senior management (Directors, heads of departments, head of accounting, head of customs department etc.) of the</p> |
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| | company and briefly describe the stand-in rules. |
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Answer:

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| 1.1.9. | How many people are employed by your enterprise? |
|---------------|--|

Answer:

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| 1.1.10. | <p>Plases specify the names and positions of person in your enterprise, which have special professional knowhow in Customs matters.</p> <p>b) Please give a brief description of the level of knowledge of the mentioned persons having to consider the use of information technology in customs and trade procedures and in general in the trade domain.</p> |
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Answer:

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| 1.1.11. | <p>By this instance I express my agreement with the publication of records from the AEO certificate in the authorized economic operators list mentioned in article 19, paragraph 3 of the Administrative Instruction for Authorized Economic Operators. Yes/No.</p> <p>If yes Signature..... Status of the signatory Signature..... Status of the signatory</p> <p>(The completed questionnaire must be signed by the director/partner with the right to lead/the sole trader, depending on the event, but in this event it is recommended, that the authorized signatory shall provide the signature)</p> <p>Date:.....</p> |
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| 1.1.12. | <p>By this instance I express my agreement to exchange the information in the AEO authorization, with the purpose of ensuring the implementation of the international agreements with third countries on joint recognition of the authorized economic operator status and measures related to security: Yes/No</p> <p>If yes Signature..... Capacity of the signatory</p> |
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| | <p>(The completed questionnaire must be signed by the director/partner with the right to lead /the sole trader, depending on the event, but in this event it is recommended, that the authorized signatory shall provide the signature).</p> <p>Date:.....</p> |
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| 1.1.13. | <p>In case you agree on the mutual recognition in column 1.1.12, please indicate these data:</p> <p>Title:.....</p> <p>Road number:..... and</p> <p>Postal number and city.....</p> <p>You should only use the Latin letters (Times New Roman).</p> |
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| 1.2. | Volume of businesses |
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| 1.2.1. | <p>a) Give the annual turnover figure for the last three sets of completed annual accounts. If a new business, state N/A.</p> <p>b) Provide the annual net profit or loss figure for the last three sets of completed annual accounts. If a new business, state N/A.</p> |
|---------------|--|

Answer:

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|---------------|--|
| 1.2.2. | <p>If you use storage facilities which are not owned by you, please indicate who you rent/lease the storage facilities from.</p> |
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Answer:

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|---------------|---|
| 1.2.3. | <p>For each of the following give an estimate of the number and value of the declarations you have made in each of the last three years. If a new business, state N/A.</p> <ul style="list-style-type: none"> - Import - Export/Re-export - Special procedures |
|---------------|---|

Answer:

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|---------------|--|
| 1.2.4. | Please give an estimate of the amount paid in each of the last three years for the following, if you are completely new business, state N/A: <ul style="list-style-type: none">- Customs duty- Excise duty- Import VAT |
|---------------|--|

Answer:

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|---------------|---|
| 1.2.5. | a) Do you foresee any structural changes in your company in the next 2 years?. If yes, please describe briefly the changes. b) Do you foresee any major changes in the supply chain your company is presently involved in, during the next 2 years? If yes, please describe briefly the changes. |
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Answer:

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|---------------|---|
| 1.3. | Information and Statistics on customs matters |
| 1.3.1. | Please, answer in the following questions: a) Do you perform customs formalities in your own name and for your own account? b) Are you being represented by someone regarding customs formalities, if yes by whom and how (directly or indirectly)? Please include the name, address and EORI number of the representative. c) Do you represent other persons in customs formalities? If yes, who and how (directly or indirectly)? (Name the most significant clients |

Answer:

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|--|---|
| | a) How, and by whom, is the tariff classification of goods decided? b) What quality assurance measures do you take to ensure that tariff classifications are correct (e.g. checks, plausibility checks, internal working instructions, regular training)? c) Do you keep notes on these quality assurance measures? d) Do you regularly monitor the effectiveness of your quality assurance measures? e) What resources do you use for tariff classification (e.g. database of standing data on goods)? |
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Answer:

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|---------------|--|
| 1.3.3. | a) How and by whom is the customs value established? b) What quality assurance measures do you take to ensure that the customs value is correctly established (e.g. checks, plausibility checks, internal working instructions, regular training, and other means)? c) Do you regularly monitor the effectiveness of your quality assurance measures? d) Do you keep notes on these quality assurance measures? |
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Answer:

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|---------------|--|
| 1.3.4. | a) Give an overview of the preferential or non-preferential origin of the imported goods. b) What internal actions have you implemented to verify that the country of origin of the imported goods is declared correctly? c) Describe your approach in the issuing of proof of preferences and certificates of origin for exportation. |
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Answer:

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|---------------|--|
| 1.3.5. | Do you deal in goods subject to anti-dumping duties or countervailing duties? If yes, provide details of the manufacturer(s) or countries outside the EU whose goods are subject to the above duties. |
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Answer:

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|-------------|--|
| 2. | Compliance record with rules |
| 2.1. | Have breaches of customs and taxation rules been detected within your company or by the customs and/or fiscal authorities in the last three years? If so, briefly describe the breaches. a) How did you notify breaches to the relevant governmental authorities? b) What quality assurance measures were introduced to avoid such breaches in the future? c) Do you keep notes on these quality assurance measures? |

Answer:

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| 2.2. | Have any applications for authorizations/certifications were refused, or |
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| | <p>existing authorizations been suspended or revoked because of breaches of customs rules in the last three years? Yes/No. If you are new business, indicate N/A. If yes, how many times and what were the reasons?</p> |
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Answer:

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| 3. | Accounting and logistical system |
| 3.1 | Audit trail |

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| 3.1.1 | <p>Does your accounting system facilitate a full audit trail of your customs activities or tax relevant movement of goods or accounting entries? If yes, please describe the essential features of this audit trail.</p> |
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Answer:

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|-------------|--------------------------|
| 3.2. | Accounting system |
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| 3.2.1. | <p>What computer system (hardware/software) do you use for your business in general, and for customs matters in particular? Are those two systems integrated? Provide information on the following: - separation of functions between development, testing and operation - separation of functions between users - access controls (which ones/to whom) - Traceability between business system and declaration system.</p> |
|---------------|---|

Answer:

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|---------------|--|
| 3.2.2. | <p>Are your logistical systems capable of distinguishing between Union and non-Union goods and indicating their location? Yes/No If yes, give details:</p> |
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Answer:

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|---------------|---|
| 3.2.3. | <p>a) At what location are your computer activities undertaken? b) Have computer applications been outsourced? If yes, provide details (name address, vat no.) of company or companies where the applications are outsourced and how do you manage access</p> |
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| | controls for the outsourced applications? |
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Answer:

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| 3.3. | Internal control system |
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| 3.3.1. | <p>Do you have in house guidelines for the internal control system in the accounts department, buying department, sales department, customs department, production, material- and merchandise management and logistics? Yes/No.</p> <p>If yes please describe them briefly and how they are updated. For example, actions like job instructions, employee training, instructions for checking faults and mechanism for proof-reading.</p> |
|---------------|---|

Answer:

| | |
|---------------|--|
| 3.3.2. | <p>Have your internal control processes been subject to any internal/external audit? Yes/No Does this include audit of your customs routines? Yes/No.</p> <p>If yes, please provide a copy of your most recent audit report.</p> |
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Answer:

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| 3.3.3. | <p>Describe in brief the procedures for checking your computer files (standing data or master files)? How do these procedures cover the following risks from your perspective:</p> <ul style="list-style-type: none"> a) Incorrect and/or incomplete recording of transactions in the accounting system. b) Use of incorrect permanent or out-of-date data such as number of articles and tariff codes. c) Inadequate control of the company processes within the applicant's business. |
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Answer:

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| 3.4. | Flow of goods |
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| 3.4.1. | <p>Describe briefly the registration procedure (physically and in the records) for the flow of goods starting from their arrival, the storage up to manufacture and shipment.</p> <p>Who keeps records and where are they kept?</p> |
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Answer:

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| 3.4.2. | Briefly describe the procedures in place for checking stock levels, including the frequency of those checks and how are discrepancies handled (e.g. stocktaking and inventory)? |
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Answer:

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| 3.5. | Customs routines |
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| 3.5.1 | <p>Do you have documented procedures for verifying the accuracy of customs declarations, including those submitted on your behalf by, e.g., a customs agent or a freight forwarder? Yes/No.</p> <p>If yes please describe briefly the procedures. If no, do you verify the accuracy of customs declaration? Yes/No. If Yes in what way?</p> |
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Answer:

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|---------------|--|
| 3.5.2. | <p>a) Does your company have instructions or guidelines on the notification of irregularities to the competent authorities (e.g. suspicion of theft, burglary or smuggling in connection with customs-related goods)? Are these instructions documented (e.g. work instructions, manuals, other guidance documents)?</p> <p>b) Over the last year, have you detected any irregularities (or presumed irregularities) and notified them to the competent authorities? Yes /No</p> |
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Answer:

| | |
|---------------|---|
| 3.5.3. | <p>Do you trade in goods that are subject to economic trade licenses e.g. textiles, agricultural goods? Yes/No</p> <p>If yes, please describe briefly your procedures for administering the licenses related to the import and/or export of such goods.</p> |
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Answer:

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| 3.6. | Procedures for back-up, recovery and fall back and archiving |
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| 3.6.1. | Describe briefly your procedures for back-up, recovery, fall back, archiving |
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| | and retrieval of your business records. |
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Answer:

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| 3.6.2. | How long is the data saved in the production system and how long is this data archived? |
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Answer:

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| 3.6.3. | Does the company have a contingency plan for system disruption/failure? Yes/No |
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Answer:

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| 3.7. | Protection of computer systems |
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| 3.7.1. | a) Describe briefly the actions you have taken in order to protect your computer system from unauthorized intrusion (e.g. Firewall, antivirus-program, password protection). b) Has any intrusion testing been carried out, and if so what were the results and were any corrective measures necessary and taken? c) Have you experienced any IT security incidents in the last year? |
|---------------|---|

Answer:

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|---------------|--|
| 3.7.2. | a) Describe briefly how access rights for the computer systems are issued. b) Who is responsible for the running and protection of the computer system? |
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Answer:

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| 3.7.3. | a) Please provide details on where your main server is located? b) Give details of how your main server is secured. |
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Answer:

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| 3.8. | Documentation security |
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|---------------|---|
| 3.8.1. | Describe briefly what actions have been taken in order to protect (e.g. constricted access rights, creation of electronic backup) information/documents from unauthorized access, abuse, intended destruction and loss? |
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Answer:

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|---------------|---|
| 3.8.2. | Have there been any cases of unauthorized access to documents in the last year, and if so what measures have been taken to prevent this from happening again? |
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Answer:

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| 3.8.3. | Please briefly answer the following questions: a) Which categories of employees have access to detailed data about the flow of materials and goods? b) Which categories of employees are authorized to change this data? Are changes comprehensively documented? |
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Answer:

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| 3.8.4. | Describe briefly what requirements regarding security & safety you require from your trade partners and other contact persons in order to avoid abuse of information (e.g. endangering of the supply chain through unauthorized transfer of shipping details)? |
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Answer:

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| 4. | Financial solvency |
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| 4.1. | Have any bankruptcy or insolvency proceedings been initiated in respect of your company's assets in the last three years? Yes/No. If Yes please provide details. |
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Answer:

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| 4.2. | Has your company a consistently good financial standing within the meaning of Article 26 of the UCC IA, sufficient to meet its financial |
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| | commitments, over the last 3 years? If yes, please provide evidence such as a letter from your auditors or an audited report, a copy of your finalized accounts (including your management accounts) - if your accounts have not been audited,-evidence from your bank or financial institution. If no, please supply full details. |
|--|---|

Answer:

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|-------------|--|
| 4.3. | If you are a newly established business provide all records and information in relation to your financial status e.g. latest cash flow, balance sheet and profit and loss forecasts, approved by the directors/partners/sole proprietor. |
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Answer:

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| 4.4. | Is there anything you are aware of that could impact on your financial solvency in the foreseeable future? Yes/No. If yes, give details. |
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Answer:

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| 5. | Requirements in the aspect of security and protection |
| 5.1. | Self-assessment |
| 5.1.1. | a) Have you carried out a risk and threat assessment for your business?Yes/No b) Is there a security plan in place for each site (where appropriate)? Yes/No How often are those documents reviewed and updated? |

Answer:

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|---------------|---|
| 5.1.2. | Describe briefly what security risks (within the company or in your business dealings with customers, suppliers and external service providers) you have identified in relation to the AEO security criteria? |
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Answer:

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| 5.1.3. | How are security measures implemented and coordinated in your company and who is responsible for them? |
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Answer:

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| 5.1.4. | If you have several premises in your company, is the implementation of the security measures harmonized in all of these locations? Yes/No |
|---------------|---|

Answer:

| | |
|---------------|--|
| 5.1.5. | a) Do you have any security instructions? How are they communicated to your staff and people visiting your company premises? b) How are they documented (manual, work guidelines, information sheet, etc.)? |
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Answer:

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|---------------|--|
| 5.1.6. | a) Have you had any security incidents over the last year? Yes/No. If yes, please give a brief description of the incidents and what measures you have introduced to prevent them from re-occurring? b) Do you keep records of security incidents and the measures taken? Yes/No |
|---------------|--|

Answer:

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|---------------|---|
| 5.1.7. | a) Have you already been certified/authorized/approved by another public agency or authority for (transport, civil aviation, etc.) security purposes? Yes/No. If yes, please provide a copy of the certificate/authorization/approval and give details of the premises/sites, which are covered by the relevant certificate/authorization/approval. b) Provide a list of any independently accredited standards/licenses/authorizations to which you adhere and specify what control/audits these standards are subject to. c) Have you planned to apply or have you already applied for any other certification/authorization/approval for security purposes (e.g. regulated agent, known consignor, etc.)? Yes/No If yes, please provide details. |
|---------------|---|

Answer:

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| 5.1.8. | Are there particular security and safety requirements for the goods you are importing/exporting? |
|---------------|--|

Answer:

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| 5.1.9. | a) Do you use the services of a security company? If so, which company do you use? b) Has this company made a threat assessment of your company? If so, describe briefly what security risks they have identified in relation to the AEO security criteria. |
|---------------|---|

Answer:

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|----------------|---|
| 5.1.10. | Do your customers or insurance company impose any safety and security requirements on you? Yes/No If yes, provide details. |
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Answer:

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| 5.2. | Access in business buildings |
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| 5.2.1. | a) Briefly describe how it is regulated the procedure of access in your business areas (in business areas, producing area, warehouses, etc.), for personnel, visitors, other persons, vehicles and goods. b) Who controls the harmonisations of certain procedures? |
|---------------|--|

Answer:

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|---------------|--|
| 5.2.2. | a) Describe procedures for the case if unauthorized persons /vehicles are located in business company areas (in land or building property). b) How personnel procedures are considered (e.g according to action, directories, work instructions, training)? |
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Answer:

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|---------------|---|
| 5.2.3. | Present a location plan per each location of your company that is included in customs activities (e.g. plan, scheme), based on which they may determine the limits, entry ways and building locations, if there is any. |
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Answer:

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|---------------|--|
| 5.2.4. | Please specify is applicable, companies (e.g. foreign companies, separated parts of the company), that are also located in business environments of each location. |
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Answer:

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|-------------|--------------------------|
| 5.3. | Building security |
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| 5.3.1. | <p>a) Give a brief description of how the external boundary of your company's premises is secured. How is compliance with these procedures checked?</p> <p>b) How, by whom and at what intervals are checks carried out on the fences and buildings? How are these checks and their results recorded?</p> <p>c) How are securities incidents reported and dealt with?</p> |
|---------------|---|

Answer:

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|---------------|---|
| 5.3.2. | <p>Please answer to these questions:</p> <p>a) What types of access are there to your business premises?</p> <p>b) How are these managed?</p> <p>c) Are access points restricted to time/day?</p> |
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Answer:

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| 5.3.3. | Are the premises adequately illuminated (e.g. continuous light, movement sensors, twilight switch)? |
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Answer :

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|---------------|---|
| 5.3.4. | <p>How is the administration of keys handled in your company (e.g. location, access, and logging)?</p> <p>Does written documentation exist for this? Yes/No</p> |
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Answer:

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|---------------|--|
| 5.3.5. | Please answer to these questions: a) Is the parking of private vehicles permitted on the premises? b) If yes, for which persons? c) Who gives the approval? d) Are the vehicles checked (at the entrance to the premises or at the car park entrance)? e) Do you have written instructions? Yes/No |
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Answer:

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| 5.4. | Cargo units (such as containers, swap bodies, transport boxes) |
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| 5.4.1. | Is access to cargo units subject to rules/restrictions? Yes/No If yes, how are such restrictions enforced? |
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Answer:

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| 5.4.2. | Describe briefly what measures are in place to prevent unauthorised access to and tampering with cargo units (particularly in open storage areas) (e.g. constant supervision, training staff and making them aware of risks, seals, instructions on procedures to follow in the case of unauthorised entry)? |
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Answer:

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|---------------|--|
| 5.4.3. | Do you use seals to prevent unauthorised tampering with goods? If you do, what kind? Do these seals satisfy any specific standards (e.g. ISO)? B How do you ensure that goods are not tampered with if seals are not used? |
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Answer:

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|---------------|---|
| 5.4.4. | What control measures do you use for checking cargo units (e.g. seven-point inspection process: front wall, left side, right side, floor, covering/roof, inside/outside of doors, outside/undercarriage)? |
|---------------|---|

Answer:

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|---------------|--|
| 5.4.5. | Please answer the following questions: a) Who is the owner/operator of the cargo units? b) Who maintains/repairs the cargo units? c) Are there regular maintenance plans? d) Are external maintenance works checked? |
|---------------|--|

Answer:

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|-------------|---------------------------|
| 5.5. | Logistic processes |
|-------------|---------------------------|

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|---------------|--|
| 5.5.1. | a) Which means of transport are normally used by your company? b) Does your company carry out all its own transport, or does it also use external service providers (e.g. freight forwarders/carriers)? c) How do you establish whether the forwarder/carrier meets the required security standards (e.g. by means of a security certificate, declarations or agreements)? d) Do you take other measures for outsourced transport activities with a view to meeting security standards? |
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Answer:

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|-------------|------------------------------|
| 5.6. | Non fiscal conditions |
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|---------------|---|
| 5.6.1. | a) Do you deal with dual unsafe and/or goods, for which the license is required for import or goods that is a subject of export limitations or embargos or other non-fiscal requests? If yes, briefly describe what kind of procedures you use to provide the compliance with certain provisions related to these goods (e.g management licenses, authorisations, specific responsibilities, especially trained staff, etc.). b) Is there any specific reference, manual or other instructions in your company that are related to these goods ? Yes/No. |
|---------------|---|

Answer:

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|-------------|-----------------------|
| 5.7. | Incoming goods |
|-------------|-----------------------|

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| 5.7.1. | <p>a) Describe briefly the procedure for ensuring the security and safety of incoming goods?</p> <p>b) Describe briefly how the compliance with these procedures is checked?</p> |
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Answer:

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|---------------|---|
| 5.7.2. | <p>Are your employees informed about security arrangements with suppliers, and how is compliance ensured?</p> |
|---------------|---|

Answer:

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|---------------|---|
| 5.7.3. | <p>a) Describe briefly how checks on the integrity of the seals on incoming goods are conducted?</p> <p>b) Are incoming goods sealed if appropriate? Yes/No</p> <p>c) Does your company deal with specific types of goods requiring specific security measures (e.g. air cargo/air mail)?</p> <p>If Yes, what routines/measures are in place?</p> |
|---------------|---|

Answer:

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|---------------|--|
| 5.7.4. | <p>Is it foreseen that the goods that arrive is marked in unique manners or located in separated areas? Yes/No</p> <p>If yes, how they are marked/where are located?</p> |
|---------------|--|

Answer:

| | |
|---------------|--|
| 5.7.5. | <p>Describe briefly the process for counting and weighing of incoming goods?</p> |
|---------------|--|

Answer:

| | |
|---------------|--|
| 5.7.6. | Describe briefly how, when and by whom incoming goods are checked against the accompanying documents and entered in your records |
|---------------|--|

Answer:

| | |
|---------------|--|
| 5.7.7. | a) Are the sections responsible for the purchase of goods, the receipt of goods and general administration clearly separated? Yes/No. b) Do integrated internal control mechanisms exist between the sections? Yes/No. If yes, how are they executed? |
|---------------|--|

Answer:

| | |
|-------------|--------------------------------------|
| 5.8. | Storage of goods in warehouse |
|-------------|--------------------------------------|

| | |
|---------------|---|
| 5.8.1. | Please describe at which locations you have set aside areas for the storage of goods? |
|---------------|---|

Answer:

| | |
|---------------|--|
| 5.8.2. | a) Please describe briefly the routine for allocating a storage position for incoming goods in warehouse. b) Do you have outdoor storage locations? Yes/No. If yes, please describe them briefly. |
|---------------|--|

Answer:

| | |
|---------------|--|
| 5.8.3. | Do you have documented procedures for stock-taking and dealing with irregularities detected during stock-taking? Yes/No If yes, please describe your arrangements in brief. |
|---------------|--|

Answer:

| | |
|---------------|---|
| 5.8.4. | Are goods of different risk levels stored separately? Yes/No a) Please describe the criteria for any separate storage (e.g. hazardous goods, high-value goods, chemicals, weapons, air cargo/air mail)? b) Please describe how you ensure that the goods are immediately recorded in the logistical accounts/stock records? |
|---------------|---|

Answer:

| | |
|---------------|--|
| 5.8.5. | a) Describe briefly how goods are protected against unauthorised access to the warehousing premises? b) Describe briefly how compliance with these procedures is checked? |
|---------------|--|

Answer:

| | |
|---------------|---|
| 5.8.6. | If, the storage of goods is outsourced to a third bidding party, please describe briefly how and where the goods are stored and your control measures you use to supervise the handling of goods. |
|---------------|---|

Answer:

| | |
|-------------|-----------------------------|
| 5.9. | The produce of goods |
|-------------|-----------------------------|

| | |
|---------------|---|
| 5.9.1. | a) Describe briefly what locations/areas are designated for the production of goods? b) If production is carried out by an external partner (e.g. job processing, drop shipments), describe briefly how the integrity of the goods is ensured (e.g. contractual agreements)? |
|---------------|---|

Answer:

| | |
|---------------|--|
| 5.9.2. | Are there any security measures protecting goods against unauthorised access to the production zone? Yes/No. If Yes, describe briefly what these measures are and whether they exist in written form. Describe briefly how compliance with these procedures is checked? |
|---------------|--|

Answer:

| | |
|---------------|--|
| 5.9.3. | Describe briefly the procedures for packing products and whether they exist in written form. |
|---------------|--|

Answer:

| | |
|---------------|---|
| 5.9.4. | If final product packaging is outsourced to a third party, describe briefly how the integrity of the goods is guaranteed? |
|---------------|---|

Answer:

| | |
|--------------|-----------------------------|
| 5.10. | The loading of goods |
|--------------|-----------------------------|

| | |
|----------------|---|
| 5.10.1. | a) Describe briefly how loading of goods is managed in your company (e.g. allocation of responsibilities, checks on goods, and means of transport, recording of results, provision of information, etc.)? b) Are there any written instructions on how the process should be organised? Yes/No |
|----------------|---|

Answer:

| | |
|----------------|--|
| 5.10.2. | a) Are outgoing goods or vehicles sealed? Yes/No? If yes, how, by whom and what sort of seals do you use? c) How do you keep a record of your seals? |
|----------------|--|

Answer:

| | |
|----------------|--|
| 5.10.3. | Describe briefly how compliance with customers' security requirements for loading is guaranteed? |
|----------------|--|

Answer:

| | |
|----------------|---|
| 5.10.4. | Describe briefly the arrangements that are in place which ensure that goods to be loaded and the loading process itself are not left unsupervised |
|----------------|---|

Answer:

| | |
|----------------|--|
| 5.10.5. | Are the outgoing goods checked for completeness (e.g. counted, |
|----------------|--|

| | |
|--|---|
| | weighed)? Yes/No If yes, how and by whom? |
|--|---|

Answer:

| | |
|----------------|--|
| 5.10.6. | Describe briefly how, when and by whom departing goods are checked against orders and loading lists and recorded out of the stock records? |
|----------------|--|

Answer:

| | |
|----------------|--|
| 5.10.7. | Describe briefly what control mechanisms you have in place for detecting irregularities concerning the loading of goods? |
|----------------|--|

Answer:

| | |
|--------------|--|
| 5.11. | Security conditions for business partners |
|--------------|--|

| | |
|----------------|--|
| 5.11.1. | a) Briefly describe which are the conditions in the aspect of security and protection, when do you use them before you choose business partner (e.g security declaration, contract's conditions, trade partners that also have the status of AEO). b) Describe briefly how the compliance of these procedures is checked? |
|----------------|--|

Answer:

| | |
|----------------|---|
| 5.11.2. | Briefly write, how in your company is verified the trade partner identity with the purpose of protecting supply chain (the request of information before receiving the request or order). |
|----------------|---|

Answer:

| | |
|----------------|--|
| 5.11.3. | Have you noticed during last year any violation of the agreement on the security with partners? Yes/No. If yes, what steps you have undertaken? |
|----------------|--|

Answer :

| | |
|--------------|--------------------------|
| 5.12. | Employee security |
|--------------|--------------------------|

| | |
|---------------|---|
| 5.12.1 | <p>a) Briefly describe how are applied the requests in security and protection aspect in the frame of your employment policy? Who is responsible on this issue?</p> <p>b) Were security procedures done in written form? Yes/No.</p> <p>c) Briefly describe how is done the verification for implementation of such procedures?</p> |
|---------------|---|

Answer:

| | |
|----------------|---|
| 5.12.2. | <p>In what level the category of employees are subject to security verifications (e.g the verification from police to be verified that the person is not at the list of convicted):</p> <p>a) The new employee will work in sensitive zones; and</p> <p>b) Current employees that shall be transferred in security sensitive zones.</p> <p>How it is provided that the person who leaves the company has no physical or electronic access in business spaces of at the database of the company?</p> |
|----------------|---|

Answer:

| | |
|----------------|--|
| 5.12.3. | <p>Are employees provided with training in the aspect of security and protection? Yes/No. If yes:</p> <p>a) How often are they trained in the aspect of security and protection?</p> <p>b) Are there any annual renewal of knowledge? Yes/No.</p> <p>c) Is this training intern or is offered by external service contractor?</p> <p>d) Is there any evidence regarding these trainings? Yes/No.</p> |
|----------------|--|

Answer:

| | |
|----------------|---|
| 5.12.4. | <p>Please answer the following questions:</p> <p>a) Specify the areas where temporary employees are used?</p> <p>b) Are these employees checked regularly according of the security standards?</p> <p>If yes who and how are verified?</p> <p>Are there also security instructions for these employees?</p> |
|----------------|---|

Answer:

| | |
|--------------|--------------------------|
| 5.13. | External services |
|--------------|--------------------------|

Answer:

5.13.1.

Do you use "external services", based on the contract as transport services, guards, cleaning, maintaining, etc.? Yes/No. If yes:

- a) Briefly describe which services they offer and in what measure (for those that are not explained in previous chapters).
- b) Is there any written agreement with the bidder of external services that contain security requests? Yes/No.
- c) Briefly explain how it is verified the respecting of included procedures in those agreement.